

## DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: CONTRACEPTIVE TRANSCERVICAL FALLOPIAN TUBE OCCLUSION DEVICES AND THEIR DELIVERY the specification of which was filed on June 7, 1995 as Application Serial No. 08/474,779 and was amended on        (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign applications(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

## Prior Foreign Application(s)

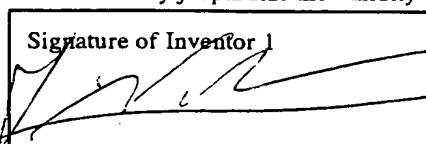
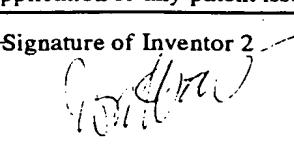
| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119  |
|---------|-----------------|----------------|------------------------------------|
|         |                 |                | Yes <u>      </u> No <u>      </u> |
|         |                 |                | Yes <u>      </u> No <u>      </u> |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application Serial No. | Date of Filing | Status     |           |             |
|------------------------|----------------|------------|-----------|-------------|
|                        |                | — Patented | — Pending | — Abandoned |
|                        |                | — Patented | — Pending | — Abandoned |

|                         |   |  |   |                          |
|-------------------------|---|--|---|--------------------------|
| Full Name of Inventor 1 | Last Name<br><b>NIKOLCHEV</b>                             | First Name<br><b>JULIAN</b>                | Middle Name or Initial                                    |                          |
| Residence & Citizenship | City<br><b>Portola Valley</b>                             | State/Foreign Country<br><b>California</b> | Country of Citizenship<br><b>United States of America</b> |                          |
| Post Office Address     | Post Office Address<br><b>251 Durazno Way</b>             | City<br><b>Portola Valley</b>              | State/Country<br><b>California</b>                        | Zip Code<br><b>94028</b> |
| Full Name of Inventor 2 | Last Name<br><b>TON</b>                                   | First Name<br><b>DAI</b>                   | Middle Name or Initial                                    |                          |
| Residence & Citizenship | City<br><b>San Jose</b>                                   | State/Foreign Country<br><b>California</b> | Country of Citizenship<br><b>United States of America</b> |                          |
| Post Office Address     | Post Office Address<br><b>1693 Flickinger Avenue</b>      | City<br><b>San Jose</b>                    | State/Country<br><b>California</b>                        | Zip Code<br><b>95131</b> |
| Full Name of Inventor 3 | Last Name<br><b>THURMOND</b>                              | First Name<br><b>AMY</b>                   | Middle Name or Initial                                    |                          |
| Residence & Citizenship | City<br><b>Portland</b>                                   | State/Foreign Country<br><b>Oregon</b>     | Country of Citizenship<br><b>United States of America</b> |                          |
| Post Office Address     | Post Office Address<br><b>12031 So. West Breyman Ave.</b> | City<br><b>Portland</b>                    | State/Country<br><b>Oregon</b>                            | Zip Code<br><b>97219</b> |

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

|   |  |                         |
|---|--|-------------------------|
| Signature of Inventor 1<br> | Signature of Inventor 2<br> | Signature of Inventor 3 |
| <b>JULIAN NIKOLCHEV</b>   | <b>DAI TON</b>   | <b>AMY THURMOND</b>     |
| Date <u>8/1/95</u>  | Date <u>8/1/95</u>   | Date                    |

## DECLARATION

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I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign applications(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

## Prior Foreign Application(s)

| Country | Application No. | Date of Filing | Priority Claimed Under 35 USC 119                        |
|---------|-----------------|----------------|--|
|         |                 |                | Yes <input type="checkbox"/> No <input type="checkbox"/> |
|         |                 |                | Yes <input type="checkbox"/> No <input type="checkbox"/> |

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

| Application Serial No. | Date of Filing | Status   |         |           |
|------------------------|----------------|----------|---------|-----------|
|                        |                | Patented | Pending | Abandoned |
|                        |                | Patented | Pending | Abandoned |

|                         |  |                                     |  |                   |
|-------------------------|--|-------------------------------------|--|-------------------|
| Full Name of Inventor 1 | Last Name<br>NIKOLCHEV                             | First Name<br>JULIAN                | Middle Name or Initial                             |                   |
| Residence & Citizenship | City<br>Portola Valley                             | State/Foreign Country<br>California | Country of Citizenship<br>United States of America |                   |
| Post Office Address     | Post Office Address<br>251 Durazno Way             | City<br>Portola Valley              | State/Country<br>California                        | Zip Code<br>94028 |
| Full Name of Inventor 2 | Last Name<br>TON                                   | First Name<br>DAI                   | Middle Name or Initial                             |                   |
| Residence & Citizenship | City<br>San Jose                                   | State/Foreign Country<br>California | Country of Citizenship<br>United States of America |                   |
| Post Office Address     | Post Office Address<br>1693 Flickinger Avenue      | City<br>San Jose                    | State/Country<br>California                        | Zip Code<br>95131 |
| Full Name of Inventor 3 | Last Name<br>THURMOND                              | First Name<br>AMY                   | Middle Name or Initial                             |                   |
| Residence & Citizenship | City<br>Portland                                   | State/Foreign Country<br>Oregon     | Country of Citizenship<br>United States of America |                   |
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|                         |                         |   |
|-------------------------|-------------------------|---|
| Signature of Inventor 1 | Signature of Inventor 2 | Signature of Inventor 3   |
| JULIAN NIKOLCHEV        | DAI TON                 | <br>AMY THURMOND |
| Date                    | Date                    | Date 9-20-95  |

**POWER OF ATTORNEY BY ASSIGNEE**

CONCEPTUS, INC. is the Assignee of the invention entitled:

**CONTRACEPTIVE TRANSCERVICAL FALLOPIAN TUBE  
OCCLUSION DEVICES AND THEIR DELIVERY**

the specification of which was filed on June 7, 1995 as Application Serial No. 08/474,779.

The Assignment accompanying this Power of Attorney has been reviewed by the undersigned. The undersigned certifies that to the best of the undersigned's knowledge and belief, title is in the Assignee. The undersigned (whose title is supplied below) is empowered to act on behalf of the Assignee.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

James M. Heslin, Reg. No. 29,541  
Gary T. Aka, Reg. No. 29,038  
Robert C. Colwell, Reg. No. 27,431  
Paul C. Haughey, Reg. No. 31,836  
David N. Slone, Reg. No. 28,572  
William M. Smith, Reg. No. 30,223  
Mark D. Barrish, Reg. No. 36,443  
Darin J. Gibby, Reg. No. 38,464

|  |                             |
|--|-----------------------------|
| Send Correspondence to:                | Direct Telephone Calls to:  |
| James M. Heslin, Esq.                  | (Name, reg. no., tele. no.) |
| TOWNSEND and TOWNSEND KHOURIE and CREW | James M. Heslin             |
| One Market Plaza                       | Reg. No. 29,541             |
| Steuart Street Tower, 20th Floor       | (415) 326-2400              |
| San Francisco, CA 94105                |                             |

CONCEPTUS, INC.

Date: 4/1/95

By: J. V. Kolker  
(Signature)

Name: Tulian V. Kolker  
Title: V.P. Advanced Programs  
and Corporate Development



MARCH 11, 1996

PTAS

TOWNSEND AND TOWNSEND AND CREW  
JAMES M. HESLIN  
TWENTIETH FLOOR, STEUART STREET TOWER  
ONE MARKET PLAZA  
SAN FRANCISCO, CA 94105-1492

• 635500240065  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231  
*MDB*



\*100090153A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/03/1995

REEL/FRAME: 7688/0804  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:

NIKOLCHEV, JULIAN

DOC DATE: 09/01/1995

ASSIGNEE:

TON, DAI

DOC DATE: 09/04/1995

ASSIGNEE:

THURMOND, AMY

DOC DATE: 09/20/1995

ASSIGNEE:

CONCEPTUS, INC.  
1021 HOWARD AVENUE  
SAN CARLOS, CALIFORNIA 94070

SERIAL NUMBER: 08474779

FILING DATE: 06/07/1995  
ISSUE DATE:

PATENT NUMBER:

95 MAR 18 AM 10:44  
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TOWNSEND & TOWNSEND  
FEB 1995

7688/0804 PAGE 2

LAWAN FLETCHER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

MIRD 10-30

FORM PTO-1595  
(Rev. 5-93)

11-15-1995

Attorney Docket No. 16355-002400

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents:



1. Name of conveying party(ies):

JULIAN NIKOLACHEV, DAI TON, AMY THURMOND



Additional name(s) of conveying party(ies) attached?  Yes  No

100090153

of receiving party(ies):

CONCEPTUS, INC.

3. Nature of conveyance:

- Assignment       Merger  
 Security Agreement       Change of Name  
 Other:

Execution Dates: September 1, 4, 20, 1995

Internal Address:

Street Address: 1021 Howard Avenue

City: San Carlos State: California ZIP: 94070

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s).

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s) 08/474,779

B. Patent No.(s)

Additional numbers attached?

Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: James M. Heslin  
TOWNSEND and TOWNSEND and CREW  
Twentieth Floor  
Stewart Street Tower  
One Market Plaza  
San Francisco, California 94105-1492  
(415) 326-2400

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41): ..... \$ 40.00

- Enclosed  Charge Fees to Deposit Account  
 Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account

8. Deposit account number: 20-1430

(Attach duplicate copy of this page if paying by deposit account)

LH10260 10/26/95 08474779

20-1430 100 581

40.00/LH

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Mark D. Barrish  
Name of Person Signing

September 29, 1995  
Date

Atty. Reg. No. 36,443

Total number of pages including cover sheet, attachments, and document: 5

10. Change Correspondence Address to that of Part 5?  Yes  No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover sheet information to:

Do not detach this portion  
Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

Attorney Docket No. 16355-002400

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS,

**JULIAN NIKOLCHEV, 251 Durazno Way, Portola Valley, California 94028,  
DAI TON, 1693 Flickinger Avenue, San Jose, California 95131, and  
AMY THURMOND, 12031 So. West Breyman Ave., Portland, Oregon 97219,**

hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: **CONTRACEPTIVE TRANSCERVICAL FALLOPIAN  
TUBE OCCLUSION DEVICES AND THEIR DELIVERY**

Filing date: June 7, 1995 Serial No.: 08/474,779; and

WHEREAS, CONCEPTUS, INC., a California corporation, located at 1021 Howard Avenue, San Carlos, California 94070, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

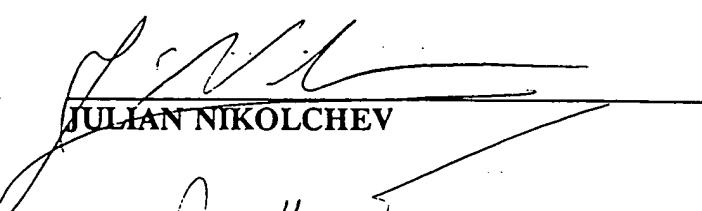
For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee

lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Date: 9/1/95



JULIAN NIKOLCHEV

Date: 9/1/95



DAI TON

Date: \_\_\_\_\_



AMY THURMOND

J:\16355\16355-24.ASN  
ASSIGN.MRG 5/94

Attorney Docket No. 16355-002400

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS,

JULIAN NIKOLCHEV, 251 Durazno Way, Portola Valley, California 94028,  
DAI TON, 1693 Flickinger Avenue, San Jose, California 95131, and  
AMY THURMOND, 12031 So. West Breyman Ave., Portland, Oregon 97219,

hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

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TUBE OCCLUSION DEVICES AND THEIR DELIVERY**

Filing date: June 7, 1995 Serial No.: 08/474,779; and

WHEREAS, CONCEPTUS, INC., a California corporation, located at 1021 Howard Avenue, San Carlos, California 94070, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

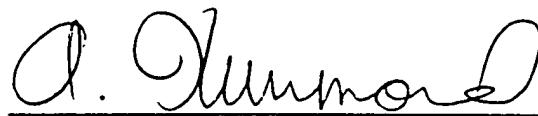
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Date: \_\_\_\_\_ **JULIAN NIKOLCHEV**

Date: \_\_\_\_\_ **DAI TON**

Date: 9-20-95   
**AMY THURMOND**

J:\16355\16355-24.ASN  
ASSIGN.MRG 5/94